

United States Bankruptcy Court  
Southern District of New York  
One Bowling Green  
New York, NY 10004-1408  
United States



Zurich, August 7, 2015/VBFRG  
Telephone 0041 58 283 50 56  
Telefax 0041 58 283 51 60  
roger.fivat@vontobel.ch

- ☐ as discussed
- ☐ for your information
- ☐ for your records
- ☐ please return
- ☐ please call
- ☐ forward to

- ☒ please process
- ☐ please comment
- ☐ please sign
- ☐ returned with thanks
- ☐ please clarify
- ☐

Please note:

Enclosed please find one form "Evidence of Transfer of Claim".

Please note, that the mentioned Lehman Products are deposited in our bank.

Our claim number is: 67373

If you have any questions, don't hesitate to contact me.

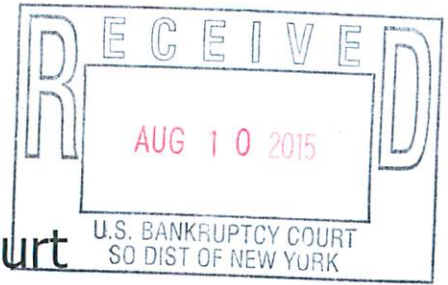
Yours sincerely,

Bank Vontobel AG

A handwritten signature in black ink, appearing to read "R. Fivat", written over the printed name.

Roger Fivat

Form 210A (10/06)



## United States Bankruptcy Court

Southern District Of New York

In re Lehman Brothers Holdings Inc., et al., Debtors,

Case No. 08-13555 (JMP)

### TRANSFER OF CLAIM OTHER THAN FOR SECURITY

A CLAIM HAS BEEN FILED IN THIS CASE or deemed filed under 11 U.S.C. § 1111(a). Transferee hereby gives evidence, attached hereto, and notice pursuant to Rule 3001(e)(2), Fed. R. Bankr. P., of the transfer, other than for security, of the claim referenced in this evidence and notice.

Bank Vontobel AG, Zurich / Switzerland

Name of Transferee

Name and Address where notices  
to transferee should be sent:

Bank Vontobel AG  
Gotthardstrasse 43  
Corporate Actions  
Postfach  
CH-8022 Zurich / Switzerland

Phone: 0041 58 283 50 56

Last Four Digits of Acct #: \_\_\_\_\_

Name and Address where transferee  
payments should be sent (if different  
from above):

Phone: \_\_\_\_\_

Last Four Digits of Acct #: \_\_\_\_\_

Bank J. Safra Sarasin Ltd / Switzerland

Name of Transferor

Court Claim # (if known): 60415

Date Claim Filed: not known

Amount of Claim: to be determined

Portion of Claim Transferred (see  
Schedule I): Units -4300-

Phone: \_\_\_\_\_

Last Four Digits of Acct. #: \_\_\_\_\_

I declare under penalty of perjury that the information provided in this notice is true and correct to  
the best of my knowledge and belief.

By: [Signature]  
Bank Vontobel AG  
Gotthardstrasse 43  
CH-8022 Zürich  
Transferee's Agent

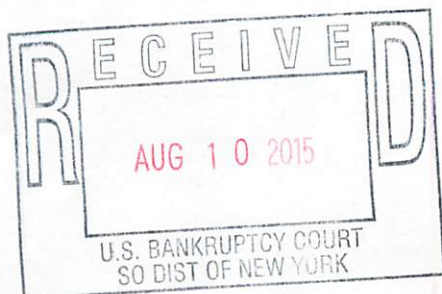
Date: August 07, 2015

Penalty for making a false statement: Fine of up to \$500,000 or imprisonment for up to 5 years, or both. 18 U.S.C. §§ 152 & 3571.



SARASIN

Nachhaltiges Schweizer Private Banking seit 1841.



EVIDENCE OF TRANSFER OF CLAIM

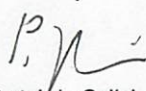
TO: THE DEBTOR AND THE BANKRUPTCY COURT

Zurich  
For value received, the adequacy and sufficiency of which are hereby acknowledged, **Bank J. Safra Sarasin Ltd** ("Transferor") unconditionally and irrevocably transferred to **Bank Vontobel AG, Basel** ("Transferee") all of its right, title, interest, claims and causes of action in and to or arising under or in connection with the portion of its claim (Claim No. 60415) in the amount of 4'300 pieces/units related to the securities with International Securities Identification Numbers listed on Schedule 1 hereto against Lehman Brothers Holdings, Inc. (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy Code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS EXECUTED this July 10, 2015.

Bank J. Safra Sarasin Ltd

  
Patrick Gribi  
Executive Director

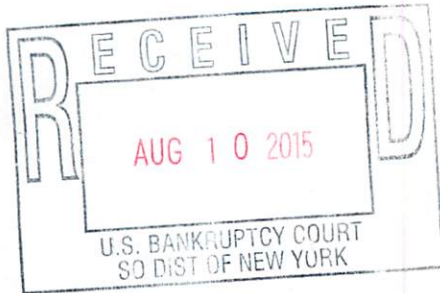
  
Frank Link  
Director





SARASIN

Nachhaltiges Schweizer Private Banking seit 1841.



SCHEDULE 1

Lehman Programs Securities Related to Transferred Portion of Claim:

ISIN	Court Claim	Date Claim Filed	Issuer	Nominal Amount/Quantity of Claim related to Security to be transferred
XS0279493398	60415	October 29, 2009	Lehman Brothers Treasury Co. B.V.	4'300 out of 634'000